



DEPARTMENT OF CORPORATIONS

JOB OPPORTUNITY

Arnold Schwarzenegger, Governor

Preston Du Fauchard, California Corporations Commissioner

Sunne Wright McPeak, Agency Secretary

Release Date: June 14, 2006

CLASSIFICATION: CORPORATION EXAMINER IV (Specialist)
Permanent Full Time - Sacramento

FINAL FILING DATE: June 28, 2006 or UNTIL FILLED

SALARY: \$5196 - \$6316

POSITION LOCATION: Securities Regulation Division, 1515 K Street, Suite 200, Sacramento, CA

DUTIES AND RESPONSIBILITIES – The Securities Regulations Division (SRD) is responsible for regulating the offer and sale of securities in the State of California and licensing and regulating Capital Access Companies, Broker-Dealers, Broker-Dealer Agents, Investment Advisers and Investment Advisory Representatives. The Corporations Examiner IV (Specialist) performs technical and administrative duties to assure compliance with provisions of the various laws under the jurisdiction of the Department of Corporations. Typical duties include:

- Reviewing complex investment advisor and broker-dealer applications for compliance with Departmental rules and regulations.
- Performing second level review of applicants with disciplinary actions, such as complaints or orders, and when appropriate, initiating the denial process through the Enforcement Unit.
- Reviewing agent employment requests submitted by broker-dealer firms that are not members of the NASDR.
- Reviewing broker-dealer firms merging with another firm, or purchasing a portion of another firm.
- Reviewing agent employment requests submitted by broker-dealer firms that are members of the NASDR who have disciplinary actions; making recommendations to initiate approval, place the agent under special supervision, notify the firm to withdraw the employment request, or initiate denial through the Enforcement Division.
- Acting as the Department's liaison and account administrator for the Central Registration Depository system (CRD) with responsibility for searching, identifying and updating the system for withdrawals and changes in status, preparing correspondence to registrants, preparing documents and searching the system for information supporting enforcement actions, updating the system for orders issued against broker-dealers and investment advisors, and acting as an "expert witness" for CRD administrative hearings.

DESIRABLE QUALIFICATIONS

- Knowledge of rules and regulations administered by the Securities Regulation Division.
- Knowledge of personal computers and familiarity of Microsoft Word, Excel, Access, and other computer programs.
- Works well under pressure
- Auditing experience and accounting knowledge.
- Ability to communicate well both orally and in writing.
- Good interpersonal skills.

WHO MAY APPLY – DOC EMPLOYEES WHO ARE CURRENTLY AT THE CORPORATIONS EXAMINER IV (Specialist) LEVEL, THOSE WITHIN TRANSFER RANGE, OR INDIVIDUALS WITH LIST ELIGIBILITY WHO ARE REACHABLE IN THE TOP THREE RANKS, AND EMPLOYEES WITH SURPLUS OR SROA STATUS IN THESE CLASSIFICATIONS ARE ENCOURAGED TO APPLY.

For further technical information regarding the position, please contact Jerry Twomey at (916) 324-6623 or CALNET 8-454-6623. **PLEASE SEND A COMPLETED APPLICATION TO THE PERSON AND ADDRESS PROVIDED BELOW.** (Please include your social security number for eligibility verification and indicate **RPA #05-SRD0033** (under the job title).

SUBMIT APPLICATION AND RESUME TO:

Department of Corporations
Human Resources Office (#05-SRD0033)
1515 K Street, Suite 200, Sacramento, CA 95814
(916) 327-8914 or CALNET 8-467-8914

RPA #05-SRD0033 jr

AN EQUAL OPPORTUNITY EMPLOYER - EQUAL OPPORTUNITY TO ALL REGARDLESS OF RACE, COLOR, CREED, NATIONAL ORIGIN, ANCESTRY, SEX, MARITAL STATUS, DISABILITY, RELIGIOUS OR POLITICAL AFFILIATION, AGE OR SEXUAL ORIENTATION.